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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/404,979
Filing Date	September 22, 1999
First Named Inventor	Gopal
Art Unit	1636
Examiner Name	T. McKelvey
Attorney Docket Number	020728.0101

Total Number of Pages in This Submission

ENCLOSURES (check all that apply)

☒ Fee Transmittal Form

☒ Fee Attached

☐ Amendment / Reply

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/
Incomplete Application

☐ Response to Missing
Parts under 37 CFR
1.52 or 1.53

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a
Provisional Application

☐ Power of Attorney, Revocation
Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) _____

☐ After Allowance Communication to
Group

☐ Appeal Communication to Board of
Appeals and Interferences

☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s)
(please identify below):

**Form PTO SB08a/b with (6)
References**

Remarks

We have attempted to obtain the parent of the Garlepy reference (U.S. Patent No. 5,674,977) from the File Information Unit with a local associate but have not been successful and so we are filing this without the parent application.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm
or
Individual name

Scott A. Chambers, Ph.D.

Signature

Date

Dec. 19, 2003

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

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Signature

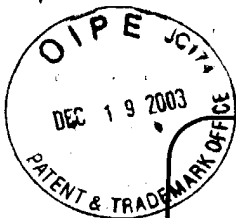
Date

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 130

Complete if Known

Application Number 09/404,979
Filing Date September 22, 1999
First Named Inventor Gopal
Examiner Name T. McKelvey
Art Unit 1636
Attorney Docket No. 020728.0101

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METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money ☐ Other ☐ None
Order

☐ Deposit Account:

Deposit
Account
Number

50-2228

Deposit
Account
Name

PATTON BOGGS LLP

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) during the pendency of this application
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FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1)

(\$ 0)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims -20 ** = 0 X = 0
Independent Claims -3 ** = 0 X = 0
Multiple Dependent X = 0

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ 0)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	130
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ 130)

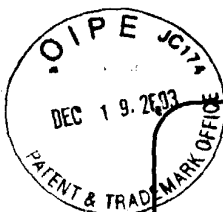
SUBMITTED BY

Name (Print/Type)	Scott A. Chambers, Ph.D.	Registration No. (Attorney/Agent)	37,573	Telephone	703-744-8085
Signature		Date	Dec 19, 2003		

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PTO/SB/17 (10-03)
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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Application Number 09/404,979

Filing Date September 22, 1999

First Named Inventor Gopal

Examiner Name T. McKelvey

Art Unit 1636

Attorney Docket No. 020728.0101

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METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money ☐ Other ☐ None
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Deposit
Account
Number 50-2228

Deposit
Account
Name PATTON BOGGS LLP

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments
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(\$ 0)

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		Extra Claims	Fee from below	Fee Paid
Total Claims	-20 **	= 0	X	= 0
Independent Claims	-3 **	= 0	X	= 0
Multiple Dependent			X	= 0

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
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FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
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Other fee (specify) _____

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SUBTOTAL (3)

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SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Scott A. Chambers, Ph.D.	Registration No. (Attorney/Agent)	37,573	Telephone	703-744-8085
Signature		Date	Dec 19, 2003		

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Practitioner's Docket No.: 020728.0101

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of: Gopal

Serial No.: 09/404,979

Filed: September 22, 1999

For: PEPTIDE-MEDIATED GENE TRANSFER

Group Art Unit: 1636

Examiner: McKelvey, T.

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INFORMATION DISCLOSURE STATEMENT

☐ Box Non-Fee Amendment
Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

In accordance with 37 C.F.R. §1.56, the attention of the Patent and Trademark Office is directed to the cited reference(s) listed on the attached PTO/SB/08A and PTO/SB/08B. The cited references are believed to be the most relevant known to Applicant(s) and/or Assignee at this time concerning the invention as claimed in the above-captioned patent application. No representation is made or intended that more relevant information does not exist or that the order of presentation of the information in any way reflects their relative pertinence.

Applicant(s) respectfully request(s) that each of the cited information be expressly considered during the prosecution of this application and that the cited reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom. If required, a copy of each reference is attached.

- ☐ 1. This Information Disclosure Statement is being filed within three months of the U.S. filing date OR before the mailing date of a first Office Action on the merits. Thus, no certification or fee is required.
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Action or Notice of Allowance. 37 C.F.R. §1.97(d).

CERTIFICATE OF MAILING (37 C.F.R. 1.8(a))

I hereby certify that, on the date shown below, this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:

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Alexandria, VA 22313-1450

Date: _____

Signature

PATENT APPLICATION

- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(1). Thus, it is believed that no fee is required.
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(2). Thus, it is believed that no fee is required.
- ☐ c. In payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ i. Attached is a check for the amount of \$180.00.
- ☐ ii. Please charge Deposit Account No. for the amount of \$180.00.
- Please credit or debit Deposit Account No. as needed to ensure consideration of the disclosed information. A duplicate copy of this paper is attached.
- ☒ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Action or Notice of Allowance, but before payment of the Issue Fee. Applicant(s) petition(s) that the Information Disclosure Statement be considered. For payment of the petition fee (37 C.F.R. §1.17(p)):
- ☒ i. Attached is a check for the amount of \$130.00.
- ☐ ii. Please charge Deposit account No. for the amount of \$130.00.
- ☒ Please credit or debit Deposit Account No. 50-2228 as needed to ensure consideration of the disclosed information. A duplicate copy of this paper is attached.
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(1).
- ☒ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(2).
- ☐ 4. The reference(s) was/were cited in a counterpart foreign application. For the Examiner's information, a concise explanation of the relevance, as it is presently understood by the individual designated in Section 1.56(c) most knowledgeable about the content of the information, of each patent, publication, or other information listed that is not in the English language, is attached hereto.

Practitioner's Docket No.: 020728.0101

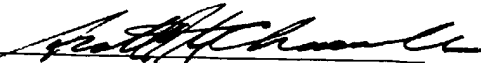
PATENT APPLICATION

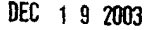
- ☐ 5. It is believed that no fees are due. However, if necessary please charge deficient fees, or credit any overpayment of fees associated with this communication to Deposit Account No.

Respectfully submitted,
PATTON BOGGS, LLP

Date: Dec. 17, 2003

Registration No. 37,573
Tel. No.: 703-744-8085
Fax No.: 703-744-8001

By: 
Scott A. Chambers, Ph.D., Reg. No. 37,573
Customer No. 32042
[or]
Address:



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Under the Paperwork

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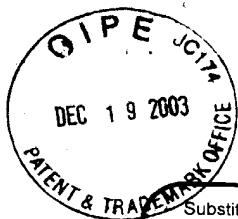
Sheet	1	of	1
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Application Number	09/404,979
Filing Date	September 22, 1999
First Named Inventor	V. GOPAL
Art Unit	1636
Examiner Name	T. McKelvey
Attorney Docket Number	20728.101

[illegible][illegible]Date
Considered

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PTO/SB/08b(05-03)

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

of

Complete if Known

Application Number

Filing Date

First Named Inventor

Group Art Unit

Examiner Name

Attorney Docket Number

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		US Application No. 07/855,389, filed March 20, 1992.	
		US Application No. 08/458,217, filed June 5, 1995.	
		US Application No. 08/458,219, filed June 5, 1995.	
		US Application No. 08/458,269, filed June 5, 1995.	

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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